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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET



DATE: 7/16/75

TO: Distribution

FROM: Information Systems Division

For Your Information

Distribution:

Interagency Committee on ADP

Ad Hoc Committee on P.L. 89-306

Federal ADP Council Chairpersons

Interagency Telecommunications Cttee.

Approved For Release 2003/08/20 : CIA-RDP84-00933R000300240014-0

Memorandum

OJCS # 1795/15

Subject: Draft of Government-wide Systems of Personnel Records
Required for Publication in the Federal Register

Date: JUL 2 1975

In Reply Refer To:

From: G. D. Bearden, Chairman
Steering Committee for Protection of Privacy
and Freedom of Information



Your Reference:

To: Bureau Directors, Regional Directors, Heads of Staff
Offices and Area Managers

In our proposed regulations to amend 5 CFR to implement the Privacy Act of 1974 (which was sent to you for comment on May 23, 1975), we indicated in section 293.103(b) that the Commission would assume responsibility for publishing annually in the Federal Register a notice of all systems of personnel records it requires agencies to maintain. Attached for your information, review, and comment are copies of draft notices of the Government-wide systems of personnel records that we will submit for publication in the Federal Register in late July. Although these draft notices were prepared from the information you provided, you are invited to provide comments, particularly on the category of records and routine uses, by July 25, 1975.

The draft notices of systems of records that the Commission will publish as an agency are currently being prepared. They will be sent to you at a later date.

Attachment

INTERAGENCY ADVISORY GROUP

Approved For Release 2003/08/20 : CIA-RDP84-00933R000300240014-0

UNITED STATES CIVIL SERVICE COMMISSION
OFFICE OF THE EXECUTIVE DIRECTOR
WASHINGTON, D.C. 20415

Chairman
Bernard Rosen
Executive Director, CSC
Room 5518, Ext. 26111

Executive Vice-Chairman
Clinton Smith
Room 1307, Ext. 26272



JUL 2 1975

Secretariat
Room 1304 - 1900 E St., N.W.
Code 101, Ext. 26236 or
Area Code 202 - 632-6266

Subject: Draft of Government-wide Systems of Personnel Records
Required for Publication in the Federal Register

From: Bernard Rosen
Executive Director

To: Directors of Personnel and Members
IAG Committee on FPMIS

In our proposed initial regulations to amend 5 CFR to implement the Privacy Act of 1974 (which was sent to you for comment on May 23, 1975), we indicated in section 293.103 (b) that the Civil Service Commission would assume responsibility for publishing annually in the Federal Register a notice of all systems of personnel records it requires agencies to maintain. Attached for your review, comment, and information is a list of the Government-wide systems of personnel records which the Commission will submit for publication in the Federal Register in early July. You will note that we have developed each system of records in the draft format provided by the Office of the Federal Register. We would appreciate your comments and suggestions, particularly on the category of records and routine uses, by July 25, 1975. Your comments and suggestions should be sent to the Director, Bureau of Manpower Information Systems, (BMIS), U. S. Civil Service Commission, 1900 E Street, N. W., Washington, D. C. 20415. Questions may be referred to Dr. Philip A. D. Schneider, Associate Director for Manpower Information, BMIS (phone: 632-6808).

Several agencies have requested that the Commission hold a meeting to discuss problems and matters relating to the Privacy Act of 1974. Accordingly, we have scheduled a meeting of the IAG Committee on Federal Personnel Management Information Systems for August 7, 1975, at 9:30 a.m., in room 1304, U. S. Civil Service Commission, 1900 E Street, N. W., Washington, D. C. In addition to a general discussion about problems and matters relating to the Privacy Act of 1974, this meeting will offer an opportunity to your representative to discuss the written comments submitted to the Commission by July 25, 1975.

DRAFT

UNITED STATES CIVIL SERVICE COMMISSION

DRAFT NOTICES

OF

GOVERNMENT-WIDE SYSTEMS OF PERSONNEL RECORDS

JUNE 25, 1975

SYSTEM NAME:

CSC--Appeals, Grievances and Complaints Records

LOCATION:

U.S. Civil Commission, 1900 E Street, N.W., Washington, D.C. 20415, regional offices of the Civil Service Commission as indicated below, agency personnel offices, and the National Personnel Records Center, St. Louis, MO.

CATEGORY OF INDIVIDUAL

Applicants for Federal employment, current and former Federal employees, agencies, and annuitants who appeal a determination made by an official of an agency or the Civil Service Commission to the Civil Service Commission, a Board established to adjudicate appeals, or an agency.

CATEGORY OF RECORD:

This system of records contains information or documents relating to a decision or determination made by an agency or the Commission affecting an individual. The records consist of the initial appeal or complaint, letters or notices to the individual, record of hearings when conducted, materials placed into the record to support the decision or determination, affidavits or statements, testimonies of witnesses, investigative reports, instructions to an agency about action to be taken to comply with decisions, and related correspondence, opinions and recommendations.

AUTHORITY:

Title 5, U.S.C., Sections 1302, 3301, 3302, 4308, 5115, 5338, 5351, 5388, 7151, 7154, 7301, 7512, 7701, 8347, Executive Order 9830, 10577, 10987, 11222, 11478, 11491, and P. L. 93-259.

ROUTINE USES:

These records and information in the records may be used:

- a. To respond to a request from a Member of Congress regarding the status of an appeal, complaint or grievance.
- b. To provide information to the public on the decision of an appeal, complaint, or grievance required by the Freedom of Information Act.
- c. To respond to a court subpoena and or refer to a district court in connection with a civil suit.
- d. To adjudicate an appeal, complaint, or grievance.
- e. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
- f. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.
- g. To request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain

relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

- h. To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.

RECORD MANAGEMENT POLICY AND PRACTICE:

Storage--These records are maintained in file folders, binders, and index cards.

Retrievability--These records are indexed by the names of the individuals on whom they are maintained.

Safeguards--Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

Retention and Disposal--The records are maintained up to two years and are transferred to the National Personnel Records Center, St. Louis, Missouri. They are destroyed by the Federal Records Center when the records are 7 years old.

SYSTEM MANAGER:

- a. Appeal Control Index Card or petitioned case files

Chairman, Appeal Review Board
U.S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

- b. Adverse actions appeal records--

Director
Federal Employee Appeals Authority
U.S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

- c. Classification Appeals to the Commission, Performance Rating Appeals,
and Complaints Records--

Director
Bureau of Personnel Management Evaluation
U.S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

- d. Agency adverse action appeals records initiated prior to September 9,
1974, Classification appeals, and Grievances records--

Personnel Officer
Local Agency Installation

NOTIFICATION:

Individuals who have filed appeals or grievances are aware that fact and have been provided a copy of the record. They may, however, contact the appropriate system manager indicated above regarding the existence of such records pertaining to them. Individuals should provide to the appropriate system manager their name, date of birth, agency in which employed, and the approximate date, and the kind of action taken by the agency when making

inquiries about records.

ACCESS AND CONTEST:

Individuals who have appealed or filed a grievance about a decision or determination made by an agency or about conditions existing in an agency already have been provided a copy of the record. The contest, amendment, or correction of an appeal or grievance record is permitted during the prosecution of an appeal, grievance, or complaint by the individual to whom the record pertains. However, after an appeal, grievance, or complaint case has been closed; an individual may gain access to, or contest the official copy of, an appeal, grievance, or complaint record by writing the appropriate system manager indicated above. Individuals should provide their name, date of birth, agency in which employed, approximate date, and the kind of action taken by the agency when requesting access to, or contest of, records.

SOURCES:

- a. Individual to whom the record pertains
- b. Agency and/or Commission officials
- c. Affidavits or statements from employee
- d. Testimonies of witnesses
- e. Official document relating to the appeal, grievance, or complaints
- f. Correspondence from specific organization or persons

SYSTEM NAME:

CSC - General Personnel Records (Official Personnel Folder and records related thereto)

LOCATION:

Personnel offices of agencies and the National Personnel Records Center, St. Louis, Missouri.

CATEGORY OF INDIVIDUAL:

Current Federal employees and those formerly employed by the Federal Government (death, resignation, retirement, and separation).

CATEGORY OF RECORD:

This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed in the Federal service. These records contain information about an individual relating to birth date; Social Security Number; veteran preference; tenure; handicap; past and present salaries, grades, and position titles; letter of commendation, reprimand, charges, and decision on charges; notice of reduction-in-force; locator files; personnel actions, including but not limited to, appointment, reassignment, demotion, detail, promotion, transfer, and separation; training; minority group designator; records relating to life insurance, health benefits, and designation of beneficiary; training; performance ratings, data documenting the reasons for personnel actions or decisions made about an individual; awards; and other information relating to the status of the individual.

AUTHORITY:

Title 5, U.S.C. Section 1302, 2951, 4118, 4308, 4506, and Executive Order 10561, September 13, 1954.

ROUTINE USES:

Information in these records is used or a record may be used:

- a. By agency officials for purposes of review in connection with appointments, transfers, promotions, reassignments, adverse actions, disciplinary actions, and determination of qualifications of an individual.
- b. By the Civil Service Commission for purposes of making a decision when a Federal employee or former Federal employee is questioning the validity of a specific document in an individual's record.
- c. By the district courts to render a decision when an agency has refused to release to current or former Federal employee a record under the Freedom of Information Act.
- d. To provide information to a prospective employer of a Government employee or former Federal employee.
- e. To provide data for the automated Central Personnel Data File (CPDF).
- f. To provide data to update Federal Automated Career Systems (FACS), Executive Inventory File, and security investigations

- g. To provide statistical reports to Congress, agencies, and the public on characteristics of the Federal work force.
- h. To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.
- i. To request information from a Federal, state, or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information or other pertinent information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.
- j. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to the appropriate agency, whether Federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation, or order issued pursuant thereto.

- k. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

RECORD MANAGEMENT POLICY AND PRACTICE:

Storage -- Records are maintained in file folders, magnetic tape, and punched cards.

Retrievability -- Records are indexed by any combination of name, birth date, Social Security Number, or identification number.

Safeguards -- Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms with access limited to those whose official duties require access.

Retention and Disposal -- The Official Personnel Folder (OPF) is retained indefinitely. The OPF is sent to the National Personnel Records Center within 30 days of the date of the employee's separation from the Federal service. Some records such as letters of reprimand, indebtedness, and vouchers are

maintained for two years or destroyed when an individual
resigns, transfers, or is separated from the Federal service.

SYSTEM MANAGER:

For current Federal employees:

Personnel Officer
Department or Agency with which Employed
Agency Installation

For former Federal employees:

Director
Bureau of Manpower Information Systems
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

NOTIFICATION:

If interest is in a specific agency or department inquiries, including
name, date of birth, and Social Security Number, should be addressed to:

Director of Personnel
Department or Agency Concerned
Washington, D. C.

Other inquiries, including name, date of birth, and Social Security
Number, should be addressed to:

Director
Bureau of Manpower Information Systems
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

ACCESS AND CONTEST:

Current Federal employees who wish to gain access or contest their
records should contact their:

Personnel Office
Agency or Department with which Employed
Agency or Department Installation

Former Federal employees who wish to gain access to their records should direct such a request in writing, including their name, date of birth, and Social Security Number, to:

National Personnel Records Center
General Services Administration
111 Winnebago Street
St. Louis, Missouri 63118

Former Federal employees who wish to contest their records should direct such a request in writing, including their name, date of birth, and Social Security Number, to:

Director
Bureau of Manpower Information Systems
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

SOURCES:

Information in this system of records either comes from the individual to whom it applies or is derived from information he supplied, except information provided by agency officials.

SYSTEM NAME:

CSC-Medical Records

LOCATION:

1. Applicants rejected on medical grounds:

U.S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

2. Federal employees and Members of Congress:

Personnel Office of employing agency

3. Former Federal employees:

National Personnel Records Center
111 Winnebago Street
St. Louis, Missouri 63118

CATEGORIES OF INDIVIDUALS:

1. Applicants for Federal employment.
2. Applicants rejected on medical grounds.
3. Applicants for disability retirement under the Civil Service Retirement Law.
4. Federal employees and Members of Congress.
5. Former Federal employees and Members of Congress.
6. Disabled dependents of Federal employees and former Federal employees and Members of Congress.

CATEGORIES OF RECORDS:

1. Applicants for Federal employment

Information relating to an individual's medical qualifications to hold a position in the Federal Government.

2. Applicants rejected on medical grounds

Information relating to an applicant's rejection for a position because of medical reasons.

3. Disability retirement records

Information relating to an individual's capability (physical and mental) to satisfactorily perform the duties of the position he or she holds or held.

4. Health unit medical records (Federal civilian employees)

Information relating to an employee's participation in an occupational health services program.

5. Qualification examinations (Federal employees)

Information relates to pre-employment, or periodic re-qualification medical examinations to assure that the incumbent are qualified (physically and mentally) to satisfactorily perform the duties of the position.

6. Fitness-for-duty examinations

Information relating to a medical examination to determine an individual's physical or mental condition with respect to ability to satisfactorily perform the duties of the position held.

7. Insurable interest determinations

Information attesting to an annuitant's state of health is required for "insurable interest" survivor annuity elections.

8. Disabled child determinations

Information relating to a dependent child's state of health is required for specific benefit eligibility determinations under the retirement and health benefits programs for Federal employees.

9. Health benefit claim review records

Information relating to individual claims for health benefits is developed in the evaluation of the validity of disputed claims under the Federal Employees' Health Benefits Program.

10. Competency determinations

Information relating to the capability of an individual to manage his or her annuity payments is reviewed.

11. Veterans wife, widow, widower, mother preference determinations

Information relating to a veteran's service connected disability in cases in which the wife, widow, widower or mother is claiming "veterans preference" which would normally accrue to the veteran is developed.

12. U.S. Postal Service seniority determinations

Information relating to medical determinations of Postal Service seniority under Public Law 739.

13. Alcohol/drug patient information records

Information relating to employee participation in the Federal Civilian Employee Alcoholism and Drug Abuse Program.

14. Former Federal employees

Any of the categories of records enumerated above may be retained in a former Federal employee's Official Personnel Folder at the National Personnel Records Center, St. Louis, Missouri.

AUTHORITY

Medical Information relating to the Retirement, Life Insurance and Health Benefits Programs--5 USC, Chapters 83, 87 and 89.

Information relating to physical and mental qualifications for Federal employment--5 USC 3301.

Information relating to the Alcoholism and Drug Abuse Programs--Public Laws 91-616 and 92-255 which are amended in regard to confidentiality of patient records by Public Law 93-282.

Information relating to the Occupational Health Program--Public Law 79-658 (5 USC 7901) as further defined in OMB Circular A-72.

ROUTINE USES:

1. Information in these records is used to make the following determinations:
 - a. Veterans Preference
 - b. Disability retirement
 - c. Postal Service seniority
 - d. Disabled child
 - e. Competency
 - f. "Insurable interest" survivor annuity elections
 - g. Health benefit eligibility
 - h. Disputed health benefit claim validity
 - i. Suitability for employment or continued employment of individuals
 - j. Benefit entitlement
 - k. Medical Counseling
2. Information in these records may be provided to officials of other Federal agencies responsible for other Federal benefit programs administered by:
 - a. Office of Workmen Compensation Programs
 - b. Retired Military Pay Centers
 - c. Veterans Administration
 - d. Social Security Administration
 - e. Specific private contractors engaged in providing benefits under Federal contracts.
3. Information in these records is used or a record may also be used:

- a. to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.
- b. to request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as a licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
- c. to provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.
- d. as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies;

may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

RECORD MANAGEMENT POLICY AND PRACTICE:

1. Storage--Records are maintained on magnetic tapes, disc, and in folders.
2. Retrievability--Records are indexed by name, social security number, date of birth, and/or claim number.
3. Safeguards--Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.
4. Retention and Disposal:
 - a. Medical certificates and other medical records of examination used to determine an employee's fitness for a job. Transferred to the National Personnel Records Center upon an employee's separation from the Federal service. It is maintained for 75 years.
 - b. Miscellaneous medical records, correspondence, dispensary records, and similar papers. Destroyed upon an employee's separation.
 - c. Applicant's medical records. Destroyed after one year.
 - d. Disability retirement medical files. Permanently.

SYSTEM MANAGER:

Director
Bureau of Retirement, Insurance and Occupational Health
U.S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415.

NOTIFICATION:

Individuals wishing to know whether information about them is maintained in this system of records should address inquiries to the:

1. Personnel Officer, local agency installation where individual is currently employed.
2. National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, if the individual is former Federal employee and wishes to know whether medical information is maintained in his/her official personnel folder.
3. Director, Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, 1900 E Street, N. W., Washington, D. C. 20415, if the individual wishes to know what information is maintained on him/her regarding eligibility for Federal employment, continued employment, or disability retirement.

Individuals requesting information about this system of records should provide their full name, date of birth, social security number, name and address of office in which currently or formerly employed in the Federal service, and annuity account number, if any has been assigned.

ACCESS AND CONTEST:

Individuals who desire access to or to contest information about them in this system of records should contact or address their inquiries to the:

1. Personnel Officer, local agency installation where individual is currently employed.
2. National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, if the individual is a former Federal employee and wishes to gain access to medical information in his or her official personnel folder.
3. Director, Bureau of Retirement, Insurance and Occupational Health, U.S. Civil Service Commission, 1900 E Street, N. W., Washington, D.C. 20415, if the individual wants to contest his or her medical records or for access to the individual's medical history in connection with a determination of his or her eligibility for Federal employment, continued employment, or disability retirement.

SOURCES:

1. The individual to whom the record pertains.
2. Private physicians.
3. Medical institutions.
4. Veterans Administration Pension Benefits Program.
5. Office of Workers' Compensation Programs.
6. Military Retired Pay Systems Records.
7. Social Security Administration (OASDI) (Medicare).

8. Federal civilian retirement systems other than Civil Service Retirement System.
9. General Accounting Office pay, leave allowance cards.
10. CSC Retirement, Life Insurance and Health Benefits Records System.
11. CSC Personnel Management Records System.

SYSTEM NAME:

CSC-Personnel Investigations Records

LOCATION:

U. S. Civil Service Commission
Bureau of Personnel Investigations
1717 H Street, N. W.
Washington, D. C. 20006

CATEGORY OF INDIVIDUAL:

Current and former applicants for employment in the Federal service.

Current and former Federal employees.

American citizens who are current or former applicants for employment with International Organizations.

American citizens who are current or former employees of International Organizations.

Individuals considered for access to classified information or restricted areas and/or security determinations as contractors, employees of contractors, experts, instructors, and consultants to Federal programs.

Individuals considered for assignment as representatives of the Federal Government in volunteer programs.

Individuals who are neither applicants nor employees of the Federal Government, but are or were involved in Federal programs under a cooperative assignment or similar agreement.

Individuals who are neither applicants nor employees of the Federal Government, but are or were involved in matters related to the Administration of the merit system.

Individuals who may be listed in an investigative leads file composed of information obtained from investigative reports, public records, and various publications.

CATEGORY OF RECORD:

These records contain investigative information regarding an individual's character, conduct, behavior, in the community where he or she lives; arrests and convictions for any violations against the law; reports of interviews with former supervisors, co-workers, associates, educators, etc; reports about the qualifications of an individual for a specific position; reports of inquiries with law enforcement agencies, former employers, educational institution attended; and other information developed from the above.

AUTHORITY:

Section 2, Civil Service Act of 1883--original authority, now codified in Title 5, U.S.C. Section 5.2, Civil Service Rule V.

Section 1303 and 1304, Title 5, U.S.C.

Sections 8(b), 8(c) and 9(c), Executive Order 10450.

Public Law 92-261 and Sections 713.216 and 713.220 of the Civil Service Regulations.

Section 7701, Title 5, U.S.C. Code (formerly Section 14 of the Veterans Preference Act of 1944, as amended), and Executive Order 10988.

Sections 1501-1508 and 7324-7327 of Title 5, U.S. Code (formerly Section 12(b) of the Hatch Act).

Section 2165 of Title 42, U.S. Code (formerly the National Aeronautics and Space Act, P. L. 85-568).

Section 2585 of Title 22, U. S. Code (formerly P. L. 87-287).

Section 1434 of Title 22, U. S. Code (formerly P. L. 80-402).

In addition to the provisions cited above, there are various acts of Congress that contain implied authority for the Commission to investigate, such as laws prohibiting the purchase and sale of office, holding of two offices, conspiracy and other prohibitory statutes.

ROUTINE USES:

The contents of these records and files may be disclosed and used as follows:

- a. To designated officers and employees of other agencies and departments of the Federal Government, and the District of Columbia Government, having an interest in the individual

for employment purposes, including a security clearance or access determination, and a need to evaluate qualifications, suitability, and loyalty to the United States Government.

- b. To designated officers and employees of other agencies and departments of the Federal Government to avoid duplication when such agency or department conducts an investigation of the individual for the purpose of granting a security clearance, or for the purpose of making a determination of qualifications, suitability, loyalty to the United States Government, or access to classified information or restricted areas.
- c. To designated officers and employees of other agencies and departments of the Federal Government having the responsibility to grant security clearance, make a determination regarding access to classified information or restricted areas, or to evaluate qualifications, suitability, or loyalty to the United States Government, in connection with performance of a service to the Federal Government under a contract or other agreement.
- d. To any agency of the Federal Government having oversight or review authority with regard to Civil Service Commission activities.
- e. To the intelligence agencies of the Department of Defense National Security Agency, Central Intelligence Agency, and the Federal Bureau of Investigation for use in intelligence activities.
- f. To any source from which information is requested in the course of an investigation, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
- g. In the event of an indication of any violation or potential violation of the law, whether civil, criminal, or regulatory in nature, and whether arising by statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, State, Local, or Foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto; such referral shall also include, and be deemed to authorize, (1) any and all appropriate and necessary uses of such records in a court of law and before an administrative board or hearing, including referrals related to probation and parole matters, and (2) such other inter-agency referrals as may be necessary to carry out the receiving agency's assigned law enforcement duties.

- h. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on matters.
- i. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

RECORD MANAGEMENT POLICY AND PRACTICE:

Storage --

Files are maintained in folders in metal file cabinets with manipulation proof combination lock. The Security Investigations Index is contained in Rotary Wheelindex Machines.

Retrievability --

Records are indexed in alphabetical order.

Safeguards --

All officials and employees are required to have an appropriate security clearance before they are allowed access to the files and records.

Retention and Disposal --

The Security Investigations Index is kept until death or retirement of the individual, or until the corresponding investigate file is destroyed. The investigative files are destroyed 30 years after they are transferred to records center storage. The adjudication Cases Control Index Cards are destroyed when the individual is 70 year of age. The Pending Investigations Control File records are kept for approximately three years. Pending National Agency Check Control Files are kept for two years.

There is no destruction schedule for the Security Research and Analysis Index, Security Adjudication File, and the International Organizations Employees Loyalty Board Case Control Index.

Files destroyed by the CSC are burned. The means of disposal of Investigative files is determined by the National Archives and Records Service.

SYSTEM MANAGER:

Director, Bureau of Personnel Investigations, United States Civil
Service Commission, Room 913, 1717 H Street, N.W., Washington, D.C. 20006

NOTIFICATION:

An individual may inquire as to whether or not the system contains a record pertaining to him or to her by addressing a written request to:

Director, Bureau of Personnel Investigations
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

The request should include the full name and date and place of birth of the individual, and any available information regarding the type of record involved, and the category of individual under which the inquirer feels he or she fits.

ACCESS AND CONTEST:

In response to a written request by an individual to determine whether or not the system contains a record pertaining to him or to her, the Director will set forth the procedure for gaining access to the record. If there is no record of the individual, he or she will be so advised. If the individual desires to contest the contents of a record, he or she may do so by writing to the Director.

SOURCES:

Information contained in the system was obtained from the following categories of sources:

- o Applications and other personnel and security forms furnished by the individual.
- o Investigative material furnished by other Federal agencies.
- o Notices of personnel actions furnished by other Federal agencies.
- o By personal investigation or written inquiry from sources such as:
 - Employers
 - Schools
 - References

Neighbors

Associates

Police Departments

Courts

Credit Bureau

Medical Records

Probation Officials

Prison Officials

- o Newspaper, magazines, periodicals, and other publications.
- o Published hearings of Congressional Committees.

SYSTEM NAME:

Personnel Research and Test Validation Records

LOCATION:

U. S. Civil Service Commission

1900 E Street, N. W.

Washington, D. C. 20415

CATEGORY OF INDIVIDUAL:

Federal employees; applicants for Federal employment; state and local government applicants and employees.

CATEGORY OF RECORD: Category II

These records include education and employment history, test scores, responses to test items and questionnaires, interview data and ratings of supervisors regarding the individuals to whom the records pertain.

AUTHORITY:

Title 5, U. S. Code Sec. 3301, Sec. 1303

ROUTINE USES:

Data are collected on a project by project basis and are used for the construction analysis and validation of written tests; for research on personnel measurement and selection methods and techniques and research on personnel management practices such as performance evaluation or productivity. Routine use includes the exchange of personnel records between the Commission and a specific Federal agency for personnel research purposes and the use of personal identifier such as employee

name to identify employees included in research studies that extend over a period of time (longitudinal studies). No personnel decisions are made in the use of these research records. Many data are collected under conditions assuring their confidentiality. This confidentiality will be protected. Personal information in this system of records is used by the personnel research staff in the Commission or the specific Federal agency involved.

These records may be also used:

1. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.
2. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether Federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

3. To request information from a Federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
4. To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.
5. For litigation in a Federal court by the Civil Service Commission or an agency.

RECORD MANAGEMENT POLICY AND PRACTICE:

Storage -- Records are maintained in file folders, on punched cards, computer tape, and computer storage.

Retrievability -- Records are maintained by project. Personal information can be retrieved by name or personal identifier only for certain research projects such as those that involve longitudinal studies. Confidential and/or protected information such as ratings and test materials will not be disclosed.

Safeguards -- Records are kepted in locked files, locked room, and access is limited to research staff.

Retention and Disposal -- Indefinite.

SYSTEM MANAGER:

Director, Personnel Research and Development Center
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

NOTIFICATION:

Director, Personnel Research and Development Center
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

ACCESS AND CONTEST:

Director, Personnel Research and Development Center
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

SOURCES:

Individual Federal, state or local employees or applicants, supervisors, assessment center assessors or data from agency or Commission personnel files and records.

System Name:

CSC- Recruiting, Examining and Placement Records

Location:

Civil Service Commission Job Information Centers; area, regional, and central offices of the Civil Service Commission; and personnel and other offices of Federal agencies that are authorized to make appointments to positions and to act for the Commission by delegated authority.

Category of Individual:

Persons who have applied for Federal employment or are employed in the Federal service.

Categories of Records:

These records contain information relating to the education and training; employment history and earnings; appraisal of past performance; convictions offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships; military service; veteran preference, birthplace; birth date; social security number; and home address of persons who have applied for Federal employment or are employed in the Federal service.

Authorities:

Title 5 U.S.C., Sections 1302, 3109, 3301, 3302, 3304, 3306, 3307, 3309, 3313, 3317, 3318, 3319, 3326, 3349, 4103, 5532, 5533, 5723, and Executive Orders 10577 and 11103.

Routines Uses:

Information in these records is used or a record may be used:

- a. to refer applicants to officials of Federal government agencies for purposes of consideration for placement in positions for which an applicant has applied and is qualified.
- b. to refer applicants to state and local governments with permission of an applicant for the purpose of employment consideration.
- c. to refer current Federal government employees to Federal agencies for consideration for transfer, reassignment, and promotion.
- d. to refer current Federal government employees for consideration for reassignment and promotion within the employing agencies.
- e. as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

- f. to refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.
- g. to request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
- h. to provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.

Record Management Policy and Practice:

1. Storage -- Records are maintained on magnetic tapes, punched cards, microfiche, cards, lists, and forms.
2. Retrievalability -- Records are indexed by name, combination of birth date, social security account number, and an identification number that is applicable.
3. Safeguards -- Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.
4. Retention and Disposal --
 - a. Register of eligibles Transferred to Federal Records Center one year after date of termination
Destroyed five years after date of termination.
 - b. Index cards Destroyed when no longer needed.
 - c. Cancelled and ineligible applications Destroyed two years after date of establishment of register or when register is terminated, whichever is shorter.

- d. Examination record Transferred to Federal
cards Center ten years after
initiated, destroyed five
years later.
- e. Inquiries and replies Destroyed after pertinent
thereto regarding information has been recorded.
availability for
appointment.
- f. Certificates of transfer Destroyed one year after date
reinstatement of change of certificate.
in status of Federal
employees

System Manager:

Director, Bureau of Recruiting and Examining
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

Notification:

For applicants: Area office to which the individual applied. (See
address of Area offices listed below.)

For current Federal employees: If the application was made to a
specific agency, the personnel office of the agency
installation where application was made.

Individuals should provide name, date of birth, social security number, identification number (if known), approximate date of record, and title of examination or announcement with which concerned.

Access and Contest:

For applicants: Area office to which the individual applied. (See address of area offices listed below.)

For current Federal employees: If the application was made to a specific agency, the personnel office of the agency installation where application was made.

Sources:

Information in this system of records either comes from the individual to whom it applies or is derived from information he or she supplied, except reports from medical personnel on physical qualifications; results of examination which are made known to applicants and vouchers supplied by references the applicant lists.

SYSTEM NAME:

CSC - Retirement, Life Insurance and Health Benefits Records System

LOCATION:

1. Current employees and Members of Congress:
Personnel office of employing agency.
2. Former employees:
Records Division, Bureau of Retirement, Insurance and Occupational Health, U. S. Civil Service Commission, Boyers, Pennsylvania.

CATEGORY OF INDIVIDUAL:

1. Federal employees and Members of Congress who are covered by the Civil Service Retirement System.
2. Federal employees and Members of Congress who have either declined or are covered by the Federal Employees' Group Life Insurance Program or the Federal Employees Health Benefits Program.
3. Separated employees and Members of Congress who have --
 - a. declined coverage,
 - b. had coverage while employed, or
 - c. are covered as annuitants under the Civil Service Retirement System, the Federal Employees' Group Life Insurance Program or the Federal Employees Health Benefits Program.
4. Surviving spouses and children of former Federal employees and Members of Congress who died while covered by the Civil Service Retirement System.

CATEGORY OF RECORD:

1. Documentation of Federal service creditable under the Civil Service Retirement System.
2. Documentation of coverage or declination of coverage under the Federal Employees' Group Life Insurance Program, and the Federal Employees Health Benefits Program.
3. Documentation of claim for refund or for annuity benefits under Civil Service Retirement System.
4. Documentation of claim for survivor annuity or death benefits under Civil Service Retirement System.
5. Medical records supporting claims for disability retirement under the Civil Service Retirement System.
6. Designations of beneficiary for benefits payable under the Civil Service Retirement System or the Federal Employees' Group Life Insurance Program.

AUTHORITY:

Chapters 83, 87, and 89 of title 5, United States Code.

ROUTINE USES:

Information in this system is used to:

1. Determine eligibility for coverage and payment of benefits under the Civil Service Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees Health Benefits Program.

2. Determine the amount of benefit due under the Civil Service Retirement System, the Federal Employees' Group Life Insurance Program and the Federal Employees Health Benefits Program and authorizing payment of that amount.
3. Transfer to Office of Workers' Compensation Programs, Veterans Administration Pension Benefits Program, Social Security Old Age, Survivor and Disability Insurance and Medicare Programs, military retired pay programs, and Federal civilian employee retirement systems other than the Civil Service Retirement System, when requested by that program or system or by the individual covered by this system of records, for use in determining an individual's claim for benefits under such system.
4. Transfer earnings information under the Civil Service Retirement System to the Internal Revenue Service as requested by the Internal Revenue Code of 1954, as amended.
5. Transfer information necessary to support a claim for life insurance benefits under the Federal Employees' Group Life Insurance Program to the Office of Federal Employees' Group Life Insurance, 4 East 24th Street, New York, NY 10010.
6. Transfer information necessary to support a claim for health insurance benefits under the Federal Employees Health Benefits Program to a health insurance carrier or plan participating in the program.

7. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, to the appropriate agency, whether federal, state, or local charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.
8. To request information from a federal, state or local agency maintaining civil, criminal, or other relevant enforcement or other pertinent information, such as licenses, if necessary to obtain relevant information to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
9. To provide information or disclose to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the letting of a contract, or issuance of a license, grant, or other benefit by the requesting agency to the extent that the information is relevant and necessary to the requesting agency's decision on that matter.
10. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; may also be utilized to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act or to locate specific individuals for personnel research or other personnel management functions.

RECORD MANAGEMENT POLICY AND PRACTICE:

1. Storage -- Records are maintained on magnetic tapes, punched cards, folders and forms.
2. Retrievability -- Records are indexed by name, social security number, birth date, and by annuity or death claim number.
3. Safeguards -- Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.
4. Retention and Disposal --
 - a. Records of election, declination, or waiver of life insurance or health benefits. Transfer as part of the official personnel folder upon separation to the National Personnel Record Center where records are maintained indefinitely.
 - b. Records relating to claim for benefit to retirement and continued life insurance and health coverage. Records are maintained permanently.

SYSTEM MANAGER:

Director
Bureau of Retirement, Insurance and Occupational Health
U. S. Civil Service Commission
1900 E Street, N. W.
Washington, D. C. 20415

NOTIFICATION:

Individuals wishing to inquire whether this system of records contain information about them should address their inquiries, providing their full name, date of birth, social security number, name and address of office in which currently or formerly employed in the Federal service, and annuity account number, if assigned, to one of the following as appropriate:

- a. Personnel officer where employed if the individual is currently employed in the Federal service.
- b. Director, Bureau of Retirement, Insurance, and Occupational Health, U. S. Civil Service Commission, 1900 E Street, N. W., Washington, D. C. 20415, if the individual is retired from the Federal service.
- c. National Personnel Records Center, 111 Winnebargo Street, St. Louis, Mo. 63118, if the individual is not retired, but has been separated from the Federal service.

ACCESS AND CONTEST:

Individuals wishing to gain access to or contest their records should contact the following in person or writing as appropriate:

- a. Personnel office where employed if the individual is currently employed in the Federal service.
- b. Director, Bureau of Retirement, Insurance, and Occupational Health, U. S. Civil Service Commission, 1900 E Street, N. W., Washington, D. C. 20415, if the individual is retired from the Federal service.

This is the appropriate address for those individuals who are former Federal employees, not retired and who wish to contest their records.

- c. National Personnel Records Center, 111 Winnebago Street, St. Louis, Mo. 63118, if the individual is a former Federal employee and who desire access to records relating to his election, declination or waiver of life insurance or health benefits coverage while employed.

Individuals requesting information in this system of records should provide their full name, date of birth, social security number, claim number, if assigned, and the name and address of office in which currently or formerly employed in the Federal service.

SOURCES:

The information in this system is obtained from the following sources:

1. The individual whom the information is about.
2. GAO Pay, Leave and Allowance Records System.
3. CSC Personnel Management Records System.
4. GSA National Personnel Records Center.
5. CSC Medical Records System.
6. Federal civilian retirement systems other than Civil Service Retirement System.
7. Military retired pay system records.
8. Office of Workers' Compensation Programs.
9. Veterans Administration Pension Benefits Programs.
10. Social Security Old Age, Survivor and Disability Insurance and Medicare Programs.

STATINTL

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